

165 U.S. PTO
09/30/03

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

UTILITY PATENT APPLICATION TRANSMITTAL

(only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	2132.0010002
First Inventor	Xiangfeng Duan
Title	Large Area Nanoenabled Microelectronic Substrates and Uses Therefor
Express Mail Label No.	

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10 674060
09/30/03

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.		ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450
1. <input type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)		
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.		
3. <input checked="" type="checkbox"/> Specification [Total Pages 154] (preferred arrangement set forth below) - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure		
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 51]		
5. Oath or Declaration [Total Pages _____] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).		
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76.		
7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)		
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies		
ACCOMPANYING APPLICATION PARTS		
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))		
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney		
11. <input type="checkbox"/> English Translation Document (if applicable)		
12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations		
13. <input checked="" type="checkbox"/> Preliminary Amendment		
14. <input checked="" type="checkbox"/> Two Return Receipt Postcards (MPEP 503) (Should be specifically itemized)		
15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)		
16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.		
17. <input checked="" type="checkbox"/> Other: <u>Authorization under 37 C.F.R. § 1.136(a)(3)</u> <input checked="" type="checkbox"/> Other: <u>The name of the assignee is: Nanosys, Inc.</u>		

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

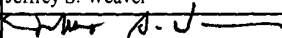
☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: _____ / _____
 Prior application information: Examiner _____ Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number 26111 or ☐ Correspondence address below

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.				
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NAME (Print/Type)	Jeffrey S. Weaver	Registration No. (Attorney/Agent)	45,608
SIGNATURE		Date	9-30-03

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



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Federal Agencies

September 30, 2003

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Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Mail Stop Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To be assigned; Filed: September 30, 2003
For: **Large Area Nanoenabled Macroelectronic Substrates And Uses
Therefor**
Inventors: Duan *et al.*
Our Ref: 2132.0010002

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. USPTO Utility Patent Application Transmittal Form PTO/SB/05;
2. 37 C.F.R. § 1.136(a)(3) Authorization to Treat a Reply As Incorporating An Extension of Time;
3. U.S. Utility Patent Application entitled:

Large Area Nanoenabled Macroelectronic Substrates And Uses Therefor

and naming as inventors:

**Xiangfeng Duan
Chunming Niu
Stephen Empedocles
Linda T. Romano
Jian Chen
Vijendra Sahi
Lawrence Bock**

Commissioner for Patents
September 30, 2003
Page 2

David Stumbo
J. Wallace Parce
Jay L. Goldman

the application comprising:

- a. An Application Data Sheet (37 C.F.R. § 1.76);
 - b. A specification containing:
 - i. 118 pages of description prior to the claims;
 - ii. 35 pages of claims (172 claims); and
 - iii. a one (1) page abstract;
 - c. 51 sheets of drawings (Figures 1, 2, 3A-3D, 4A, 4B, 5, 6A-6F, 7, 8A-8C, 9, 10, 11A, 11B, 12, 13A-13C, 14, 15A, 15B, 16, 17A, 17B, 18A-18C, 19A-19F, 20A, 20B, 21-33, 34A-34C, 35A-35D, 36A-36D, 37A-37D, 38A-38C, 39A-39C, 40, 41A, 41B, 42, 43, 44A-44C, 45-47, 48A, 48B);
4. Preliminary Amendment; and
 5. Two (2) return postcards.

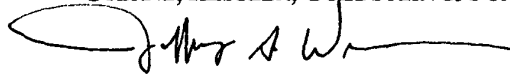
Correspondence should be sent to Customer Number 26111.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

This patent application is being submitted under 37 C.F.R. § 1.53(b) without Declaration and without filing fee.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Jeffrey S. Weaver
Attorney for Applicant
Registration No. 45,608

JSW/asl
Enclosures

SKGF_DC1:183256.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Duan *et al.*

Appl. No. To be assigned

Filed: September 30, 2003

For: **Large Area Nanoenabled
Macroelectronic Substrates And
Uses Therefor**

Confirmation No. n/a

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 2132.0010002

**Authorization To Treat A Reply As Incorporating An Extension Of
Time Under 37 C.F.R. § 1.136(a)(3)**

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Jeffrey S. Weaver
Attorney for Applicant
Registration No. 45,608

Date: 9-30-03

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